

12-06-01

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BAKER BOTTS LLP

JC984 U.S. PTO  
11/02/01

Please type a plus sign (+) inside this box → +

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. AP33682 (70050.1603)

First Inventor Rafael Yuste

Title Method and System \* see attached

Express Mail Label No. EF321680474US

11/02/01

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 127]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
4.  Claim(s) [ Total Sheets 15 ]  
 Abstract of the Disclosure [ Total Sheets 1 ]
5.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 6 ]
6.  Oath or Declaration [ Total Pages ]  
 a.  Newly executed (original or copy)  
 Copy from a prior application (37 CFR 1.63 (d))  
 (for continuation/divisional with Box 18 completed)
  - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
7.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

8.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
9.  Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

10.  Assignment Papers (cover sheet & document(s))
11.  37 CFR 3.73(b) Statement  Power of Attorney (when there is an assignee)
12.  English Translation Document (if applicable)  Copies of IDS Information Disclosure Statement (IDS)/PTO-1449
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

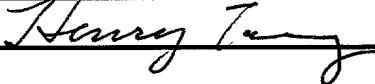
Prior application information. Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	21003 (Insert Customer No. or Attach our code label here)		or <input type="checkbox"/> Correspondence address below
Name			
Address			
City	State	Zip Code	
Country	Telephone		Fax

Name (Print/Type)	Henry Tang	Registration No. (Attorney/Agent)	29,705
Signature		Date	11/2/2001

**Addendum Sheet 1****\*Question 4 Addendum**4.a. Drawings are  formal  informal**\* Question 5 Addendum**5.c.  An unsigned oath or declaration is included.**\* Question 8 Addendum**8.d.  A sequence submission will follow.**\* Question 9 Addendum**9.a.  Assignment documents will follow.9.b.  Assignment documents have been filed in parent application No.**\* Question 11 Addendum**11.a.  English translation will follow.**\* Question 12 Addendum**12.a.  Copies of IDS citations will follow.**\* Question 15 Addendum**15.a.  Certified copies of priority documents will follow.15.b.  Certified copies of priority documents have been filed in parent application No.

Use the space below for additional information

Title (continued):

Method and System For Analyzing Financial Market Data

## Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No. \_\_\_\_\_  
Prior application information    Examiner \_\_\_\_\_    Group Art Unit \_\_\_\_\_

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No. \_\_\_\_\_  
Prior application information    Examiner \_\_\_\_\_    Group Art Unit: \_\_\_\_\_

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No. \_\_\_\_\_  
Prior application information    Examiner \_\_\_\_\_    Group Art Unit: \_\_\_\_\_

Amend the specification by inserting before the first line the sentence(s)

"This application is a  Continuation  Divisional  Continuation-in-part (CIP) of:

"This application is based upon:

    prior application No.: \_\_\_\_\_, incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:

    prior application No. \_\_\_\_\_, incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:

    prior application No. \_\_\_\_\_, incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:

    prior application No. \_\_\_\_\_, incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:

    prior application No. \_\_\_\_\_, incorporated by reference herein,

which is a  Continuation  Divisional  Continuation-in-part (CIP) of:

which is based upon:

    prior application No. \_\_\_\_\_, incorporated by reference herein

Priority under 35 U.S.C. §119 is claimed based upon the following applications.

Foreign Applications:

Country: \_\_\_\_\_ Serial No: \_\_\_\_\_ Filing Date: \_\_\_\_\_

Country: \_\_\_\_\_ Serial No: \_\_\_\_\_ Filing Date: \_\_\_\_\_

Country: \_\_\_\_\_ Serial No: \_\_\_\_\_ Filing Date: \_\_\_\_\_

Provisional Applications:

Serial No: 60/245,132 Filing Date: November 2, 2000

Serial No: \_\_\_\_\_ Filing Date: \_\_\_\_\_

Serial No: \_\_\_\_\_ Filing Date: \_\_\_\_\_

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 676)

*Complete if Known*

Application Number	
Filing Date	
First Named Inventor	Rafael Yuste
Examiner Name	
Group Art Unit	
Attorney Docket No.	AP33682 (70050.1603)

**METHOD OF PAYMENT**

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-4377**  
Deposit Account Name **Baker Botts LLP**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

**FEE CALCULATION**

1. **BASIC FILING FEE**

Large Entity	Small Entity	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
740	370	Utility filing fee	370		
330	165	Design filing fee			
510	255	Plant filing fee			
740	370	Reissue filing fee			
160	80	Provisional filing fee			
<b>SUBTOTAL (1)</b> (\$ 370)					

2. **EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
40	20 ** = 20	X 9	180
Independent Claims	6	X 3 ** = 3	126
Multiple Dependent			

Large Entity	Small Entity	Fee (\$)	Fee (\$)	Fee Description
18	9	Claims in excess of 20		
84	42	Independent claims in excess of 3		
280	140	Multiple dependent claim, if not paid		
84	42	** Reissue independent claims over original patent		
18	9	** Reissue claims in excess of 20 and over original patent		
<b>SUBTOTAL (2)</b> (\$ 306)				

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)**

3. **ADDITIONAL FEES**

Large Entity	Small Entity	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
130	65	Surcharge - late filing fee or oath			
50	25	Surcharge - late provisional filing fee or cover sheet			
130	130	Non-English specification			
2,520	2,520	For filing a request for ex parte reexamination			
920*	920*	Requesting publication of SIR prior to Examiner action			
1,840*	1,840*	Requesting publication of SIR after Examiner action			
110	55	Extension for reply within first month			
400	200	Extension for reply within second month			
920	460	Extension for reply within third month			
1,440	720	Extension for reply within fourth month			
1,960	980	Extension for reply within fifth month			
320	160	Notice of Appeal			
320	160	Filing a brief in support of an appeal			
280	140	Request for oral hearing			
1,510	1,510	Petition to institute a public use proceeding			
110	55	Petition to revive - unavoidable			
1,280	640	Petition to revive - unintentional			
1,280	640	Utility issue fee (or reissue)			
460	230	Design issue fee			
620	310	Plant issue fee			
130	130	Petitions to the Commissioner			
50	50	Processing fee under 37 CFR 1.17(q)			
180	180	Submission of Information Disclosure Stmt			
40	40	Recording each patent assignment per property (times number of properties)			
740	370	Filing a submission after final rejection (37 CFR § 1.129(a))			
740	370	For each additional invention to be examined (37 CFR § 1.129(b))			
740	370	Request for Continued Examination (RCE)			
900	900	Request for expedited examination of a design application			

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

*Complete (if applicable)*

SUBMITTED BY	Henry Tang	Registration No. (Attorney/Agent)	29,705	Telephone	212 408-2586
Name (Print/Type)					
Signature	<i>Henry Tang</i>			Date	11/2/2001

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) OR 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory; Express Mail Certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

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deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

**37 C.F.R. 1.8(a)**

**37 C.F.R. 1.10\***

with sufficient postage as first class mail.

as "Express Mail Post Office to Address"

Mailing Label No. EF321680474US (mandatory)

Henry Tang  
Signature

Date: November 2, 2001

Henry Tang

*(type or print name of person certifying)*

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*"Since the filing of correspondence under § 1.10 without the Express Mail label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition. "Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.*